USDA Docket No.: 0109.03

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

N. Dong et al.

Application No.: 10/797,346

Filed: March 10, 2004

For: Transformation methods for Guayule Using Agrobacterium and Reduced Light to Slow Metabolism and

Enhance Recovery

USDA Docket No. 0109.03

Customer No.: 25278

Confirmation No. 4296

Examiner: Wendy Haas

Technology Center/Art Unit: 1661

PETITION UNDER 37 CFR 1.181 REQUESTING WITHDRAWAL OF THE HOLDING OF ABANDONMENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In response to the abandonment mailed August 1, 2008 applicant petitions under 37 CFR 1.181(a)(2) requesting withdrawal of the holding of abandonment.

Applicant respectfully requests that the instant petition, though untimely filed, be accepted for review since any patent term adjustment will be reduced under the provisions of 37 CFR 1.704(c)(4). Moreover, as provided for in MPEP 711.03(c)(1)(C), applicant respectfully requests that if necessary, rather than dismissing the petition to withdraw the holding of abandonment under 37 CFR 1.181(f), the Office require a terminal disclaimer as a condition of granting the petition for withholding of abandonment.

Appl. No. 10/797,346	
Petition for Revival of Abandonment	07/02/2009

**PATENT** 

Remarks/Arguments begin on page 3 of this paper.

Copies of supporting documents/actions begin on page 7 of this paper.

### **REMARKS**

Applicant replied with a bona fide attempt to advance prosecution to the final action mailed January 11, 2008 on April 10, 2008. The final action did not contain any rejections; however, an objection to the claims was set forth. Applicant's response set forth a claim amendment to address the objection.

Applicant subsequently received a notice of abandonment, without an advisory action (PTOL-303), purportedly based on "Applicant's failure to timely file a proper reply to the Office letter on January 11, 2008....A proposed reply was received on April 10, 2008, but does not constitute a proper reply under 37 CFR1.113(a) to the final rejection.". See attached PTOL 1432.

A proper reply under 37 CFR 1.113(a) consists of "(c)...cancellation of, or appeal from the rejection of, each rejected claim. If any claim stands allowed, the reply to a final rejection or action must comply with any requirements or objections as to form." As stated above, there were no outstanding rejections and the lone objection was complied with via submission of an amendment to address the objection. The amendment was based on a telephonic interview with the examiner wherein applicant submitted to the examiner's Rightfax no. (571)273-0976 (see attached fax log) a proposed amendment to remedy the objection so that the language was acceptable and better place the application in condition for allowance. The amendment submitted via Rightfax was the same as that presented officially in response to the final action.

Applicant asserts that the reply was in accordance with 37 CFR 1.113(a)(c) and that the examiner denied the amendment improperly or without merit. If the claim objections were properly treated as a matter of form and not substance (per MPEP 706.01), the final action was properly replied to. Moreover, if the claims were truly objected to, applicant should have been given the opportunity under 37 CFR 1.135 (c) to comply, without abandonment of the application.

### Basis of Objection/Reply to Objection

The examiner's objection to claims 1, 4 and 10 was based on "informalities" (see p. 2, line 1, "Claim objections of the final action); however, the objection was practically treated by the examiner as a *defacto* rejection with the requirement that applicant include a "rooting step" to demonstrate that a plantlet formed.

MPEP 706.01 Contrasted With Objections [R-2] states "The refusal to grant claims because the subject matter as claimed is considered unpatentable is called a "rejection." The term "rejected" must be applied to such claims in the examiner's action. If the form of the claim (as distinguished from its substance) is improper, an "objection" is made." (Emphasis added)

The requirement that applicant include a "rooting" step, to distinguish a process step, clearly was a matter of substance and not form. Assuming *arguendo* that the examiner asserts that the inclusion of rooting step was a matter of form, applicant's amendment to the claims explicitly including a rooting step should have satisfied the objection as a matter of form.

Applicant maintains that even in the absence of the amendment if the claims were to be viewed substantively, one of skill in the art would know from the state of the art and the instant specification that in order to form a plantlet, a rooting step is inherently present.

The inclusion of the rooting step in claims 1, 4 and 10 therefore complied with the objection set forth by the examiner. There were no other informalities presented by the examiner that applicant was required to address.

Neither an advisory action (PTOL- 303) nor explanation was given as to why the amendment to comply with the objection/informality was improper or incomplete.

Under 37 CFR 1.135 (c), "When reply by the applicant is a *bona fide* attempt to advance the application to final action, and is substantially a complete reply to the non-final Office action, but consideration of some matter or compliance with some requirement has been inadvertently omitted, applicant may be given a new time period for reply under § 1.134 to supply the omission."

Applicant's reply was a bona fide attempt to advance prosecution by inclusion of the rooting step in the amendment. If the examiner were properly treating the claims as objections (per MPEP 706.01) and still deemed the amended claim language as lacking some element of form, per 37 CFR 1.135(c) cited above, the more appropriate action should have been to afford applicant a new time period for reply for the inadvertent omission.

For the reasons cited above, withdrawal of the holding of abandonment is respectfully requested.

## **CONCLUSION**

In view of the foregoing amendments, applicants believe all claims now pending in this Application are in condition for allowance. The issuance of a formal Notice of Allowance at an early date is respectfully requested.

If the Examiner believes a telephone conference would expedite prosecution of this application, please telephone the undersigned at 510-559-5731.

Respectfully submitted,

House Oren

Howard Owens

Reg. No. 58,219

USDA, ARS, OTT 800 Buchanan Street Albany, California 94710

Tel: 510-559-5731

Fax: 510-559-5736

## Fax Header Information

USDA-ARS-OTT 510-559-5736 Jul-01-2009 01:21 PM

Job	Date/Time	Туре	Identification	Duration	Pages	Result
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424	Apr-08-2008 03:05 PM	Send	9.1.3015045060	1:12	3	Success
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426	Apr-10-2008 09:29 AM	Send	9,15712730976	1:05	2	Success ] HAAS RIGHTFAY NO
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	Application No.	Applicant(s)				
Notice of Aboundary and	10/797,346	DONG ET AL.				
Notice of Abandonment	Examiner	Art Unit				
	MENDYCHAAS	1661				
The MAILING DATE of this communication app	WENDY C. HAAS	1661				
The MAILING DATE of this communication app	ears on the cover sheet with the c	orrespondence address				
This application is abandoned in view of:						
<ol> <li>Applicant's failure to timely file a proper reply to the Office         <ul> <li>(a) A reply was received on (with a Certificate of Note of the period for reply (including a total extension of time of the proposed reply was received on 10 April 2008, but rejection.</li> </ul> </li> </ol>	Mailing or Transmission dated month(s)) which expired on	······································				
(A proper reply under 37 CFR 1.113 to a final rejection application in condition for allowance; (2) a timely filed Continued Examination (RCE) in compliance with 37 (	Notice of Appeal (with appeal fee):					
(c) A reply was received on but it does not constitutional rejection. See 37 CFR 1.85(a) and 1.111. (See		mpt at a proper reply, to the non-				
(d) ☐ No reply has been received.						
Applicant's failure to timely pay the required issue fee and from the mailing date of the Notice of Allowance (PTOL-8)	2. Applicant's failure to timely pay the required issue fee and publication fee, if applicable, within the statutory period of three months from the mailing date of the Notice of Allowance (PTOL-85).					
(a) The issue fee and publication fee, if applicable, was received on (with a Certificate of Mailing or Transmission dated), which is after the expiration of the statutory period for payment of the issue fee (and publication fee) set in the Notice of Allowance (PTOL-85).						
(b) ☐ The submitted fee of \$ is insufficient. A balance	e of \$ is due,					
The issue fee required by 37 CFR 1.18 is \$	The publication fee, if required by 37	CFR 1.18(d), is \$				
(c) The issue fee and publication fee, if applicable, has no	ot been received.					
<ol> <li>Applicant's failure to timely file corrected drawings as requ Allowability (PTO-37).</li> </ol>	uired by, and within the three-month p	period set in, the Notice of				
(a) Proposed corrected drawings were received on after the expiration of the period for reply.	(with a Certificate of Mailing or Tran	nsmission dated), which is				
(b) No corrected drawings have been received.						
The letter of express abandonment which is signed by the the applicants.	e attorney or agent of record, the ass	ignee of the entire interest, or all of				
<ol> <li>The letter of express abandonment which is signed by an 1.34(a)) upon the filing of a continuing application.</li> </ol>	attorney or agent (acting in a repres	entative capacity under 37 CFR				
<ol> <li>The decision by the Board of Patent Appeals and Interfer- of the decision has expired and there are no allowed clair</li> </ol>		se the period for seeking court review				
7. The reason(s) below:						
•						
	/Wendy C Haas/ Primary Examiner, Art Uni	t 1661				
Petitions to revive under 37 CFR 1.137(a) or (b), or requests to withdra	w the holding of abandonment under 37	CFR 1.181, should be promptly filed to				

I hereby certify that this correspondence is being EFS-Web transmitted to the United States patent and Trademark Office

On \_\_\_\_\_\_April 10, 2008

USDA, Agricultural Research Service, Office of Technology Transfer

By: \_\_\_\_\_\_\_Sonya Domingo

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Dong et al.

Application No.: 10/797,346

Filed: March 10, 2004

For: Transformation methods for Guayule Using Agrobacterium and Reduced Light to Slow Metabolism and

Enhance Recovery

Customer No.: 25278

Confirmation No. 4296

Examiner: Wendy Haas

Technology Center/Art Unit: 1661

RESPONSE TO FINAL REJECTION

USDA Docket No.: 0109.03

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In response to the Office Action mailed January 11, 2008 please enter the following amendments and remarks:

Amendments to the claims begin on page 2 of this paper.

Remarks/Arguments begin on page 7 of this paper.

### Amendments to the Claims:

#### In the Claims:

Please amend claims 1, 4 and 10 as follows. Support for the amendments below may be found on (p. 15,[085] - p. 19).

- 1. A method for transforming *Parthenium argentatum* (Guayule) with a target gene comprised of the steps of:
  - a. dipping and saturating leaf strips of Guayule, previously grown in sterile culture, in a solution of *Agrobacterium* which has been transformed with a vector containing a target gene; and
  - b. introducing said leaf strips to a nutrient subculture and to controlled light conditions, and maintaining said leaf strips under said controlled light conditions in said nutrient subculture until shoot formation occurs[,]; optionally, with subsequent root formation, thus producing transformed plantlets of Guayule.
- 4. A method for transforming *Parthenium argentatum* (Guayule) with a target gene comprised of the steps of:
  - a. dipping and saturating leaf strips of Guayule, previously grown in sterile culture, in a solution of *Agrobacterium* which has been transformed with a target gene;
  - b. introducing said leaf strips to selectable media; and
  - c. slowing the metabolism of said leaf strips held in a nutrient matrix until shoot formation occurs[,] : optionally, with subsequent root formation . thus creating transformed plantlets.
- 10. A method for transforming *Parthenium argentatum* (Guayule) with a target gene comprised of the steps of:
  - a. preparing leaf strips from Guayule plants previously grown in sterile culture, and holding said leaf strips in reduced light conditions for at least 3 days;
  - b. preparing Agrobacterium liquid suspension containing a binary vector with at least one target gene in its T-DNA;

- c. soaking said leaf strips in the Agrobacterium suspension;
- d. introducing said leaf strips to a selectable medium; transferring said leaf strips into a nutrient culture, and exposing the leaf strips to controlled light conditions until proliferation occurs[,]; optionally, with subsequent shoot and root formation, thus producing a colony of transformed Guayule plants.

Appl. No. 10/678,023 Reply to Office Action of January 11, 2008

## Listing of claims:

- 1. (amended) A method for transforming *Parthenium argentatum* (Guayule) with a target gene, comprised of the steps of:
  - a. dipping and saturating leaf strips of Guayule, previously grown in sterile culture, in a solution of Agrobacterium which has been transformed with a vector containing a target gene; and
  - b. introducing said leaf strips to a nutrient subculture and to controlled light conditions, and maintaining said leaf strips under said controlled light conditions in said nutrient subculture until shoot formation occurs; optionally, with subsequent root formation, thus producing transformed plantlets of Guayule.
- (original) The method of claim 1, wherein the controlled light conditions are comprised of alternating periods of darkness and fluorescent light maintained at <15 μmol m<sup>-2</sup> s<sup>-1</sup> intensity.
- 3. (original) The method of claim 1, wherein the controlled light conditions are comprised of alternating periods of darkness and fluorescent light maintained at between 0-5 μmol m<sup>-2</sup> s<sup>-1</sup> intensity.
- 4. (amended)A method of transforming *Parthenium argentatum* (Guayule) with a target gene, comprised of the steps of:
  - a. dipping and soaking leaf strips of Guayule, previously grown in sterile culture, in a solution of Agrobacterium which has been transformed with a target gene;
  - b. introducing said leaf strips to selectable media; and
  - c. slowing the metabolism of said leaf strips held in a nutrient matrix until shoot formation occurs; optionally, with subsequent root formation, thus creating transformed plantlets.
- 5. (original)The method of claim 4 wherein the metabolism is slowed by exposure to and maintenance of controlled light conditions.

- 6. (original) The method of claim 5 wherein the controlled light conditions are further defined as alternating periods of darkness and light that is <15 μmol m<sup>-2</sup> s<sup>-1</sup> intensity.
- 7. (withdrawn) A transgenic Guayule line created by:
  - a. dipping and soaking leaf strips of Guayule, previously grown in sterile culture, in a solution of *Agrobacterium* which has been transformed with a target gene and introducing said leaf strips to selectable media;
  - b. ameliorating the adverse wounding response of said saturated leaf strips to Agrobacterium infection through application of low light conditions; and
  - c. inducing shoot elongation and rooting, thus creating a transgenic line of Guayule.
- 8. (withdrawn) The transgenic Guayule plant of claim 7, wherein the low light conditions are further defined as alternating periods of darkness and exposure to white fluorescent light with an intensity of <15 μmol m<sup>-2</sup> s<sup>-1</sup>.
- 9. (withdrawn) The transgenic Guayule plant of claim 7, wherein the low light conditions are further defined as alternating periods of darkness and exposure to white fluorescent light with an intensity of <5 μmol m<sup>-2</sup> s<sup>-1</sup>.
- 10. (amended)A method for transforming *Parthenium argentatum* (Guayule) with a target gene, comprised of the steps of:
  - a. preparing leaf strips from Guayule plants previously grown in sterile culture, and holding said leaf strips in reduced light conditions for at least 3 days;
  - b. preparing Agrobacterium liquid suspension containing a binary vector with at least one target gene in its T-DNA;
  - c. soaking said leaf strips in the Agrobacterium suspension;
  - d. introducing said leaf strips to a selectable medium;
  - e. transferring said leaf strips into a nutrient culture, and exposing the leaf strips to controlled light conditions until proliferation occurs; optionally, with subsequent shoot and root formation, thus producing a colony of transformed Guayule plants.
- 11. (original)The method of claim 10, wherein the reduced light conditions are further

defined as alternating periods of darkness and exposure to white fluorescent light with an intensity of  $<15~\mu mol~m^{-2}~s^{-1}$ .

12. (original) The method of claim 10, wherein the controlled light conditions are further defined as alternating periods of darkness and exposure to white fluorescent light with an intensity of  $<5 \mu mol m^{-2} s^{-1}$ .

**PATENT** 

## REMARKS/ARGUMENTS

## Claim Objections

The examiner has objected to claims 1, 4 and 10 as containing informalities. Specifically the examiner suggests that the steps necessary for producing a plantlet are not present in the instant claims. Applicant has amended the claims to overcome the rejection; however, applicant respectfully asserts that one of skill in the art would know that rooting has occurred given that the claim recites the production of a transformed plantlet (which as acknowledged by the examiner requires rooting) as well as the teachings of the instant specification (p. 15,[085]).

# Claim Rejections

There are no outstanding rejections.

For the reasons cited above, withdrawal of the rejection(s) of record is respectfully requested.

## CONCLUSION

In view of the foregoing amendments, applicants believe all claims now pending in this Application are in condition for allowance. The issuance of a formal Notice of Allowance at an early date is respectfully requested.

If the Examiner believes a telephone conference would expedite prosecution of this application, please telephone the undersigned at 510-559-5731.

Respectfully submitted,

Hand Com

Howard Owens

Reg. No. 58,219

USDA, ARS, OTT 800 Buchanan Street Albany, California 94710 Tel: 510-559-5731

Fax: 510-559-5736

		Application No.	Applicant(s)	
		10/797,346	DONG ET AL.	
	Office Action Summary	Examiner	Art Unit	
		Wendy C. Haas	1661	
Period fo	The MAILING DATE of this communication app or Reply	pears on the cover sheet w	rith the correspondence add	ress
WHIC - Exter after - If NO - Failu Any	ORTENED STATUTORY PERIOD FOR REPLY CHEVER IS LONGER, FROM THE MAILING DANSIONS of time may be available under the provisions of 37 CFR 1.1 SIX (6) MONTHS from the mailing date of this communication. Opened for reply is specified above, the maximum statutory period or re to reply within the set or extended period for reply will, by statute reply received by the Office later than three months after the mailing ed patent term adjustment. See 37 CFR 1.704(b).	ATE OF THIS COMMUNI 36(a). In no event, however, may a will apply and will expire SIX (6) MO a, cause the application to become A	CATION. reply be timely filed  NTHS from the mailing date of this con BANDONED (35 U.S.C. § 133).	
Status				
1)⊠	Responsive to communication(s) filed on 05 D	ecember 2007.		
2a)⊠	This action is <b>FINAL</b> . 2b) This	s action is non-final.	·	
3)	Since this application is in condition for allowa	•	•	merits is
	closed in accordance with the practice under E	Ex parte Quayle, 1935 C.	D. 11, 453 O.G. 213.	
Disposit	ion of Claims			
5)□ 6)⊠ 7)⊠	Claim(s) <u>1-12</u> is/are pending in the application 4a) Of the above claim(s) <u>7-9</u> is/are withdrawn Claim(s) is/are allowed. Claim(s) is/are rejected. Claim(s) <u>1-6 and 10-12</u> is/are objected to. Claim(s) <u>1-12</u> are subject to restriction and/or	from consideration.	·	
Applicat	ion Papers			
	The specification is objected to by the Examine The drawing(s) filed on is/are: a) acc Applicant may not request that any objection to the Replacement drawing sheet(s) including the correct	cepted or b) objected to drawing(s) be held in abey	ance. See 37 CFR 1.85(a).	FR 1 121(d).
11)	The oath or declaration is objected to by the E	xaminer. Note the attach	ed Office Action or form PT	O-152.
Priority	under 35 U.S.C. § 119			
12)[ a)	Acknowledgment is made of a claim for foreign   All   b)   Some * c)   None of:  1.   Certified copies of the priority document   Certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copies of the certified copies of the priority document   Copi	nts have been received. Its have been received in prity documents have been au (PCT Rule 17.2(a)).	Application No en received in this National	Stage
2) 🔲 Not	ice of References Cited (PTO-892) ice of Draftsperson's Patent Drawing Review (PTO-948)	Paper N	v Summary (PTO-413) o(s)/Mail Date f Informal Patent Application	
1) Not 2) Not 3) Info	ice of References Cited (PTO-892)	Paper N	o(s)/Mail Date	

Art Unit: 1661

#### **DETAILED ACTION**

### Election/Restrictions

Applicant's argument regarding the finality of the restriction is acknowledged but is not deemed to be persuasive. The Examiner maintains that, at present, examination of Group II requires an additional, separate search. Should the elected claims be found allowable, the Examiner will rejoin the claims of Group II for examination.

The requirement is still deemed proper an remains FINAL.

### Claim Objections

Claims 1-6 and 10-12 remain objected to because of the following informalities: claims 1, 4 and 10 are each missing a method step. Specifically, claims 1 and 4 state "until shoot formation occurs, thus creating transformed plantlets." Applicant must include a rooting step for a complete plantlet to be disclosed, as tissue cultures frequently produce unrooted shoots that are not complete plantlets. Similarly, Claim 10 refers to "proliferation" of leaf strips, which also does not clearly set forth a method step that results in an entire plantlet. Claims 2 and 3 depend from Claim 1; Claims 5 and 6 depend from Claim 4; and Claims 11 and 12 depend from Claim 10. Appropriate correction is required.

### Claim Rejections - 35 USC § 102

This heading was included erroneously in the previous Office action; there are no 102 rejections.

Art Unit: 1661

# Claim Rejections - 35 USC § 103

Applicant's arguments regarding Hallahan et al. are deemed to be persuasive. The rejection is withdrawn.

# Allowable Subject Matter

Claims 2, 3, 6, 11, and 12 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

#### Conclusion

No claim is allowed.

## Response to Arguments

- (1) Page 3, applicant argues that search of the product of Group II would necessarily include the method. Applicant elected Group I. Search of Group I does not necessarily include the product, particularly as the method steps disclosed in Groups I and II are not identical.
- (2) Applicant declined to amend the claims in response to the Examiner's objection. The objection stands.
- (3) Applicant's arguments regarding Hallahan et al. are persuasive. The rejection is dropped.

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

## Future Correspondence

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Wendy C. Haas whose telephone number is (571) 272-0976. The examiner can normally be reached on Monday through Friday from 9:00 to 5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Anne Marie Grunberg can be reached on (571) 272-0975. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Wendy C. Haas/ Primary Examiner, AU 1661